DOCUMENT RESUME

ED 344 601 IR 054 004

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TITLE A Comparative Study of the Administration of the Government Documents Sections of the National Archives of the United States, the National Library of Canada, Selected American State Archives and Libraries.
SPONS AGENCY National Archives and Records Administration, Washington, DC.
PUB DATE 90
NOTE 53p.; Requirements of the CIDS Program.
PUB TYPE Dissertations/Theses - Undetermined (040) -- Reports - Research/Technical (143) -- Tests/Evaluation Instruments (160)

EDRS PRICE MF01/PC03 Plus Postage.
DESCRIPTORS *Archives; *Depository Libraries; *Government Publications; *Library Administration; Library Collection Development; Library Collections; Library Personnel; Preservation; Questionnaires; Reference Services; *State Libraries; Surveys
IDENTIFIERS *National Archives DC; *National Library of Canada; State Archives

ABSTRACT

This report, written for a National Archives Staff training program, presents the results of a survey which sought information about the administration of the government documents sections of the National Library of Canada, the National Archives of the United States, and 12 selected American state archives and state libraries. The survey gathered information about the nature and size of the government document collections (including their weeding and collection development policies), staffing, types of reference services offered, photocopying policies, and preservation methods. Historical information about the first Congressional acts and resolutions that provided for the printing and distribution of government documents is also given. The following materials are appended: (1) Reference Request forms from the Center for Legislative Archives and the National Archives of the United States; (2) Reference Contact Sheet from the National Library of Canada; (3) the survey instrument; and (4) survey data tables comparing the percentages of accretions, reference response times, and types of finding aids for government publications among the libraries and archives surveyed. (14 references) (MAB)

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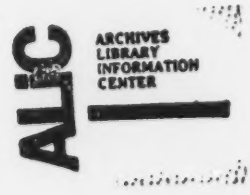
A COMPARATIVE STUDY OF THE ADMINISTRATION OF THE GOVERNMENT DOCUMENTS SECTIONS OF THE NATIONAL ARCHIVES OF THE UNITED STATES, THE NATIONAL LIBRARY OF CANADA, SELECTED AMERICAN STATE ARCHIVES AND LIBRARIES

A paper to partially fulfill the requirements
of the CIDS program
at the National Archives and Records Administration



Nola A. Freeman
Center for Legislative Archives
January 1990

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Methodology

Originally this paper was to compare and contrast the administration of the Government documents sections of the National Archives of the United States, the National Library of Canada, and the British Library. The two national libraries were chosen because neither the British nor Canadian archives houses collections of Government publications. However, the British Library never responded to the questionnaire and the National Library of Canada replied several months after the initial inquiry. Meanwhile, the paper topic was modified to include selected state archives and libraries, in addition to the National Archives. After the National Library of Canada responded, its reply was included in the survey.

Although, the basic mission of a library and an archives is very different, there is some basis for making comparisons between the Government documents sections of both kinds of repositories. For example, both have a professional staff engaged in reference service and projects associated with Government publications. In addition, both types of repositories are concerned with "housing" their collections and access by various types of users.

There are, of course, some basic differences between a depository library collection of Government publications and archival collections of Government publications. For

example, the National Archives does not acquire publications on a daily basis, as designated depository libraries do. Rather, NARA receives publications from the Government Printing Office and other Government agencies when those publications are no longer being actively used by the agencies. Moreover, publications in the custody of the National Archives do not circulate nor can they be requested by a researcher through the Interlibrary Loan System. The National Archives must not violate the sanctity of original order and therefore, it cannot rearrange the Government publications collection in any other arrangement scheme. Libraries frequently throw out old editions of superceded publications, but archival repositories are under an obligation to maintain all copies of publications as well as their changes. NARA does not maintain a "reference copy" and a "preservation copy" of each publication which some libraries do.

Since the lowest level of description of Government publications is the item level, rather than the series, some believe the administration of Government publications has more in common with library administration than with archival administration.[1]

Although the National Archives Library has been a depository library since 1934, this paper will focus upon the

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[1]David Pfieffer, "Government Publications and the National Archives: An Administrative History of the Printed Archive Branch" (CIDS paper, National Archives, 1983), p. 10.

printed archives collection under the jurisdiction of the Center for Legislative Archives.

Introduction

In the decade immediately following the adoption of the Constitution, Federalists, under the leadership of Alexander Hamilton, and the Jeffersonian Republicans vigorously competed for power. Thomas Jefferson's political philosophy emphasized his belief that the people, acting through representative Government, would be able to govern themselves. In order to do this properly, the electorate needed to be well-informed on the issues of the day as well as the activities of Government.

Perhaps with Jefferson's philosophy in mind, during the first part of the nineteenth century Congress passed a series of acts and resolutions which provided for the printing and distribution of copies of the journals of the Senate and House of Representatives. Legislation regarding Government publications during the second half of the nineteenth century primarily addressed administrative changes within the Government to respond to the growth of the Federal Government's role as a disseminator of information.

The first of these major acts or resolutions occurred during the 13th Congress, when a resolution was adopted to incorporate provisions which had previously been covered by earlier, special legislation. On December 10, 1813, a

resolution was adopted that two hundred copies "beyond the number usually printed" of the public journals of the Senate and of the House of Representatives, as well as documents published under the orders of the Senate and House of Representatives, would be printed. These additional copies would be distributed in the following manner: (1) twenty-five copies would be deposited in the "library of the United States, at the seat of Government, to be delivered to members of Congress, during any session, and to all other persons authorized by law to use the books in the said library," (2) one copy to each governor "of the several States and Territories," (3) one copy to each branch of every State and territorial legislature, (4) one copy to each University and College in each State, and (5) one copy to the "Historical Society incorporated . . . in each State." The balance of the two hundred copies were to be deposited in "the said Library of the United States, subject to the future disposition of Congress."[2]

A second major act regarding Government publications was a joint Congressional resolution of March 20, 1858, which transferred the jurisdiction of distributing Government publications from the Secretary of State to the Secretary of the Interior, who then was responsible for distributing them to those "colleges, private libraries, athenaeums, literary

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[2]Journal of the House of Representatives of the United States, Being the First Session of the Thirteenth Congress (Washington: Gales and Seaton, 1826), p. 171.

and scientific institutions, and boards of trade or public associations as may be designated to him" by Congress.[3]

Perhaps the most important piece of legislation during the nineteenth century was the Printing Act of 1895, which included provisions for the public printing, binding, and distribution of public documents. The Act also established the Division of Public Documents, and the positions of the Public Printer and the Superintendent of Documents to carry out these functions. According to the legislation, the President of the United States was to appoint a "suitable person, who must be a practical printer and versed in the art of bookbinding" to be the Public Printer. In turn the Public Printer was to appoint "a competent person" to act as the Superintendent of Documents. The Superintendent's two primary duties were to supervise the distribution of all public documents and to sell at cost any public document in his custody. Additionally, the Act provided for the publication of a catalog of Government publications "on the first day of each month, which shall show the documents printed during the preceding month."[4]

Currently, Chapter 19 of Title 44 of the U. S. Code is the authority for the operation of the Government

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[3]House Resolution No. 19, 35th Congress.

[4]U. S. Statutes at Large, Volume 28, Chapter 23. (January 12, 1895), "An Act Providing for the Public Printing and Binding and the Distribution of Public Documents," p. 612.

documents depository program. Briefly, the law describes in detail the availability and distribution of Government publications to depository libraries, the requirements for depository libraries and regional depository libraries, and the designation of depository libraries. Depository libraries have a responsibility to make Government publications available for the free use of the general public, but may dispose of publications after five years, provided they are served by a regional depository library.

The National Archives of the United States

Since 1936 Government publications probably have been accessioned into the National Archives along with agency records. However, the National Archives did not have a formal collection of Government publications until 1972 when it acquired the holdings of the Government Printing Office Library.[5] The Library grew over the years, primarily due to the cataloging and indexing responsibilities of the Superintendent's office.

In the 1896 Annual Report of the new Office of the Superintendent of Documents, the superintendent briefly described his agency's involvement in "the work of making a complete library of public documents of the United States."[6]

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[5]Hereafter referred to as the GPO Library.

[6]Office of the Superintendent of Documents. Second Annual Report of the Superintendent of Documents (Washington, DC: Government Printing Office, 1896), p. 20.

Money was available, he related, for buying rare documents and searching for "fugitive publications," which were then preserved, cataloged, bound, and shelved in the GPO Library. Additionally, the GPO Library provided reference service in response to inquiries, and the Superintendent complained there was "a vast amount of labor" expended "in looking up old and obscure documents to which correspondents can not give intelligible references, [and] answering inquiries for documents which we are unable to supply."[7]

In Annual Reports from 1896 to 1920, the Superintendent dutifully reported the total number of documents and maps, as well as the annual accretions, in the GPO Library's holdings. The report for fiscal year 1896 indicated there were 12,984 books and 1,795 maps for a total of 19,438 items.[8] By 1904, the "immediate pressure" for more shelving space to accommodate the "constantly incoming flood" of new publications forced the GPO Library to seek larger quarters. At that time the Library's collection had grown to 57,649 documents and 8,177 maps.[9] In 1920 the GPO Library's collection had expanded to 236,080 documents and 22,780 maps[10] and by 1951, according to an article by Joseph A.

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[7]Ibid., p. 3.

[8]Ibid., p. 21.

[9]Ibid., 1904, p. 9.

[10]Leroy Schwarzkopf, "The Proposed National Depository Agency and Transfer of the Public Documents Library to the National Archives," Government Information Quarterly Vol. 1,

King, the Chief of the Library, the Library's holdings were reported to be in excess of one million items.[11]

The National Archives acquired the core of its present collection in the early 1970s. James B. Rhoads, the Archivist of the United States, apparently became interested in printed archives collections after attending an International Council on Archives meeting in Jerusalem during 1970. At that time he learned the national archives of many countries maintained a record copy of its Government publications. After he returned to Washington, DC, Rhoads began to explore the possibilities of the National Archives acquiring a United States Government publications collection. At the same time, Adolphus Nichols Spence II, the Public Printer, became increasingly concerned about the preservation of the materials in the GPO Library and he began to examine the possibility of transferring the Library's collection of Government publications to another repository.

In early 1971, the two men met and Spence offered the complete GPO Library collection of United States Government publications to the National Archives, and Mr. Rhoads accepted the offer. There were two major reasons for Rhoads' acceptance. First of all, he believed printed archives were records of the Federal Government and secondly, since the Government Printing Office was under no legal obligation to

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No. 1 (1984): 32.

[11]Ibid., p. 33.

maintain a complete set of publications, there would be no guarantee these important records would be maintained as a unit.[12]

Since Mr. Spence's primary concern was the preservation of the collection in Superintendent of Documents order, he did not make a formal offer of the collection of Government publications to the Library of Congress. That institution, also, was under no legal obligation to maintain the Government publications collection as a single, unbroken unit. In addition, the GPO Library collection would have largely duplicated the collection already in the Library of Congress, which, however, was not filed in Superintendent of Documents order. The Library of Congress' Government publications collection was filed (and still is) under a special, internal filing system. Thus, the National Archives appeared to be the logical place for the Superintendent of Documents Library publications collection.

The collection of Government publications offered to the National Archives included nearly two million U. S. Government publications encompassing the years 1790 to 1971; approximately 76,000 maps, dating from 1895 to 1971; and the Superintendent of Documents Library's "subject file" containing about 450,000 three by five inch index cards, dating from 1895 to 1950.[13]

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[12]Pfieffer, "Government Publications," p. 9.

[13]Ibid., p. 11.

Since acquiring the Superintendent of Documents collection of Government publications in 1971, the history of the administration of printed archives within the National Archives, as evidenced by David Pfeiffer's 1982 CIDS paper, has been a series of administrative changes over the years. The most recent organizational change in October 1988, brought the printed archives collection of the National Archives under the administrative control of the Center for Legislative Archives.

Currently, the printed archives of the United States Government are accessioned in the National Archives under Record Group 287, Publications of the United States Government. The collection is approximately 20,000 to 30,000 cubic feet and contains about two million printed documents, approximately 5,000 microfiche, 138 rolls of NARA-generated microfilm (the European edition of the Stars and Stripes), 1,000 maps and charts, "very few" still pictures, and slightly more than one thousand posters.[14] In addition to the above, there are an undetermined number of maps and charts located in the Cartographic Branch, and some posters and still pictures housed in the Still Picture Branch.

There are significant gaps in the National Archives' collection of printed archives.[15] Other than those

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[14]Questionnaire response from the National Archives and Records Administration, Center for Legislative Archives, p. 2.

[15]Ibid., p. 2.

publications that have been classified by the Superintendent of Documents, relatively few other Government publications have been accessioned into the National Archives. Exceptions include publications from the Navy's Bureau of Aeronautics and the Army's Adjutant General's Office. Currently, NARA's collection of accessioned Government publications does not go beyond 1979.

Over the past seventeen years, NARA has received two major four-year bloc accretions to the original GPO Library collection. In addition, other accretions from agencies or from other units within the National Archives have been received on a sporadic basis. Since there is such a great disparity in size among the accretions, no "average" number of cubic feet or count of individual items would be representative of these accretions.

The National Archives receives publications from more than one source. It receives approximately 90% of its publications from the Government Printing Office, slightly less than 5% from the United States Army, less than 3% from other agencies from within the Federal Government, and somewhat less than 2% from other units within the National Archives.[16]

Although one can find occasional publications in a foreign language, primarily French or Spanish, the vast majority of the publications are printed in the English

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[16]Ibid., p. 4.

language. NARA does not receive foreign language publications directly from other countries, but occasionally these publications may be among non-Superintendent of Documents holdings.

Currently, five full-time staff members devote a significant portion of their time servicing Government publications. However, one individual is on temporary detail to prepare a microfilm publication of the Far Eastern editions of the U. S. Army publication, Stars and Stripes, and shortly will return to his normal assignment. Staff members servicing Government publications possess a Ph.D, two possessing a M.A. degree, one with a B.A., and one technician with no college degree.

The National Archives does little to make the general public aware of the collection of Government documents. At one time, NARA published a "Looking for an out-of-date Government Publication" (Government Information Leaflet 28). This leaflet needs updating and it is not actively distributed, pending its revision. Informally and formally, however, word of the collection is spread at professional library meetings and by word-of-mouth among researchers. In addition, the NARA respondent indicated it would "make sense" for announcements to be placed in Prologue to notify researchers of accretions to the collection.

Although some Government publications in the National Archives Library are on the open shelves, none of the

publications in Record Group 287 are accessible to the general public. In order to obtain access to these publications, researchers must either correspond, telephone, or appear in person at the Center for Legislative Archives. A standard form is used to record pertinent information about the researcher and the publication(s) he/she is seeking. (Please see Appendix A for a for sample copy of the "Research Request" form.) The average number of walk-in requests per week is normally twelve researchers, while there are approximately ten requests by correspondence and twenty-seven reference requests by telephone. Archivists usually need approximately thirty minutes to respond to a telephone request, forty-five minutes to service walk-in requests, and up to two hours to respond to correspondence requests.[17] (Please see Table 2 in Appendix D for a comparison of reference response times for surveyed repositories.)

Walk-in researchers must use the Central Research Room to examine the publications they have requested and like all researchers, they must abide by the general rules and regulations established by the National Archives for researchers using its facilities. In addition, to help ensure the security of documents belonging to the National Archives, there is a guard stationed in the research room.

The National Archives has no restrictions on when publications are pulled for reference requests and there is

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[17]Ibid., p. 8.

no formal limit to the number of publications a researcher may request at one time.

There are photocopy machines for researchers to use on any unbound publications at a cost of ten cents per page. However, for bound publications, researchers must "tag" the pages they wish to have copied and follow established NARA procedures regarding either "cash and carry" orders or having a quotation form prepared for the order, which will be processed at a later date. For the researchers' requesting Government publications that are only available in microform format, researchers must used the facilities in the Microfilm Reading Room.

There are various finding aids for researcher or staff use. When the National Archives acquired the GPO Library, it also inherited the card catalog for the publications. This card catalog is located in the hallway of the third floor and is rarely used by staff members and never used by researchers. The primary finding aid for Government publications are various published guides. For example, the Congressional Information Service (CIS) issues a guide to published Congressional hearings entitled CIS U. S. Congressional Committee Hearings Index, and a guide to miscellaneous Congressional reports and documents, the U. S. Serial Set Index. The Monthly Catalog is a compilation of all publications published during a month, and each year the Catalogs are bound into a single annual volume. For older

publications the Checklist of United States Public Documents, 1789-1909, is a valuable resource. John L. Andriot's Guide to United States Government Publications, the Cumulative Subject Index to the Monthly Catalog of United States Government Publications, and The Cumulative Title Index to United States Public Documents, 1789-1976, are other useful guides. Perhaps the most valuable guide for locating United States Army publications is the Index of Technical Manuals, Technical Bulletins, Supply Manuals, and Lubrication Orders.

Currently, the Center for Legislative Archives has two major projects involving Government publications. One project, the microfilming of the Far Eastern editions of the U. S. Army publication, Stars and Stripes, will be completed during fiscal year 1990. The second project which involves microfilming Army Administrative and Technical publications finding aids, will also be finished during fiscal year 1990.

The National Library of Canada

The National Library Act of 1952 established the National Library of Canada; and the Dominion Archivist at the time, Dr. W. Kaye Lamb, temporarily assumed the position of Librarian.[18] The Act also provided that publishers must deposit two copies of every book "to come off the press" with

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[18]Bruce Peel, "Librarianship in Canada Before 1952," Archivaria 15 (Winter 1982/83): 78.

the National Library. Prior to the establishment of the National Library of Canada, scholars depended heavily upon provincial legislative libraries, as well as the Library of Parliament, for collections of printed Canadian materials. These legislative libraries, which were the oldest libraries in Canada, did not formally divide their archival, manuscript, and library functions or materials and thus, legislative libraries had responsibilities for archival collections as well as library materials.

The National Library of Canada, which, under the National Library Act, Revised Statutes of Canada, 1985, is responsible for maintaining copies of publications of the Canadian Government. It was founded in 1952 and in the following year, the Library of Parliament provided the new national library with the core of its collection by giving the National Library publications it no longer wanted, or duplicate copies of publications from its collection. Included in the Library of Parliament collection were publications dating from 1790 through the present, incorporating legislative and departmental publications from all of the provinces, the Northwest Territories, the Yukon, and Federal Government. In addition, publications of Canadian provinces and municipalities, not a part of the Library of Parliament's holdings, were incorporated into the National Library's general collection.

As a full depository library of the Canadian

Government Publishing Centre, the Canadian public printer, the National Library of Canada is entitled to received two copies of all items listed in the Weekly Checklist of Canadian Government Publications, which is the Canadian equivalent of the Monthly Catalog. The library also receives on deposit documents listed in the Special List of Canadian Government Publications, a listing of Government publications published by nongovernment contractors. With this system, the Library is able to acquire most Government publications quite easily.

In order for a library to be a full depository library, it must be nominated by the National Library of Canada or the Canadian Publishing Centre. Presently, there are forty-eight full depository libraries in Canada, which include the libraries of major universities, provincial libraries, research libraries associated with governmental bureaus, and "designated resource" libraries. Other libraries, which are called "selected status" depository libraries, must be open to the public at least 20 hours per week, have at least one full-time staff librarian, and be located in a geographical area with certain population requirements. Each week these libraries make their selection of publications from the Weekly Checklist and mail their requests to the Canadian Publishing Centre. The publications are then mailed to the depository library.

Unfortunately, Canada is no different from the United

States in that centralized publication and distribution of Government documents is not always mandatory. Many departments and organizations within the Government publish and distribute their own material without going through the official Government printer.

However, despite the procedure of automatic acquisition mentioned above, it is still necessary for National Library personnel to systematically check various sources in order to ensure that all documents come to the Library in a timely manner. Since all reference requests are first checked against the Library's Government documents collection, Library staff immediately attempt to acquire any publications identified as missing.

Because the Canadian Federal Government has no control over how provincial publications are published or distributed, it is only through agreements made with the provincial legislative libraries and the official printer, the Canadian Publishing Centre, that the National Library is able to build a collection of publications from the provinces. As the result of these agreements, the National Library receives most provincial Government publications automatically. However, like the national Government, none of the ten provinces has a fully centralized publishing and distributing system. Publications issued through the official provincial publisher are deposited in the National Library without significant problems, but the Library must

continually maintain contacts with the various provincial Governmental departments to be certain copies of all their publications are being submitted. Librarians at the National Library check many sources, such as newspapers, press releases, and checklists in order to be certain the Library is receiving all publications. However, if the Library has not received a publication, acquisition procedures are undertaken immediately for any publication identified as missing.

Currently, the Canadian National Library contains 50,859 linear feet of Government publications, which includes 2,376,801 printed documents, 2,262,573 microfiche, 5,712 reels of microfilm, six reels of computer-generated magnetic tape, and 1,500 items listed as "other."[19] However, the Government publications collection does not include any separate collection of maps, charts, or still pictures, because these items are maintained with the publications. Due to the diligence mentioned above, the Library reports that it has no significant gaps in its Government publications collection.

The National Library of Canada receives accretions to its collection from all sources on a daily basis. The questionnaire reported that the Library acquires an average of 300-400 printed documents, 100 microfiche, and 1-2 reels

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[19]Response to questionnaire by the Official Publications Specialist of the National Library of Canada, p. 2.

of microfilm each day. In addition, the Library receives approximately three reels of magnetic tape annually.[20] The Public Printer furnishes the Library with approximately 70% of its publications, while the balance consists of publications printed by outside contractors, Federal provincial ministries. Additionally, the Library receives selected deposits from the United Nations and Great Britain, which are received on an irregular basis.

All official publications of the Canadian Government are published in bilingual French-English editions. Also, the Library receives separate publications in other languages, which were not specified in the questionnaire.

There are thirty-seven full-time and twelve part-time staff members at the National Library of Canada. These individuals do not devote their time exclusively to servicing Government publications, but are responsible for all reference service and projects within the library. Fifteen people are employed in reference, while twenty-four staff members primarily dedicate their time to the arrangement and description of all publications received by the Library. Four individuals are full-time administrators and six people have "other" duties, but the questionnaire did not elaborate their duties.[21] There are twenty-eight staff members who have a library science degree, two earned a subject degree in

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[20]Ibid., p. 3.

[21]Ibid., p. 5.

addition to a library science degree, and two individuals have a Bachelor of Arts degree in a subject. The balance of the employees have no college degrees.

Approximately ten percent of the Library's collection of Government publications are on the open shelves and primarily consists of various publications of the national legislature, almanacs, and statistical publications. The balance of the Library's collection is located on shelves closed to the public or in an off-site facility where staff members are engaged in the acquisition and cataloging of publications. In addition, there is a second off-site facility used for storing some foreign and international publications.

The Canadian National Library receives a total of 670 walk-in researchers, 37 requests by mail, and 355 telephone requests each week.[22] However, the Official Publications Specialist who responded to the questionnaire indicated that approximately forty percent of these totals are devoted to servicing Government publications. Like the National Archives, the National Library of Canada has a special form to record pertinent information regarding reference requests. (Please see Appendix B) Reference personnel generally require approximately fifteen minutes to successfully respond to a walk-in researcher's request and only ten minutes to answer a telephone request. Correspondence reference

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[22]Ibid., p. 8.

requests require approximately two hours to fill.[23] Researchers utilizing the Library may have publications pulled for their use once every hour and they are limited to ten different titles. Researchers are allowed to make their own copies from Government publications, however, if the researcher wishes to copy the entire publication, or a significant portion of the publication, permission must first be granted by the copyright holder, which is usually the issuing ministry. The Library charges almost the same for photocopying (10 cents and 34 cents) for in-person or mail requests as does the National Archives.

Most of the publications at the Library are housed in non-acid free boxes or are "free standing" on the shelves. The Library usually maintains at least two copies of each publication: one copy is used as the "reference copy" and the second copy is the "preservation copy."

Currently, the Library's main project is a long term endeavor to create machine readable entries on the computerized catalog for approximately half of the collection. In 1973 the National Library established a "Canadian MARC" office to develop a format for machine readable cataloging. This system became operational in the latter part of the 1970s and thus, earlier acquisitions to the Library's collection of Government publications need to

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[23]Ibid., p. 8.

be added to the automated cataloging system.[24]

The research staff at the Library have a vast number of finding aids in order to serve researchers' needs. For example, there is a card catalog, a computer retrieval system, and from fifty to sixty published guides. These guides include various departmental catalogs, overall governmental catalogs, provincial catalogs, and indices to various microfilm collections of official publications. The Library also has approximately eight to ten unpublished guides at their disposal, including guides to Federal annual reports and provincial serials.

During recent years, the availability of Government documents on microform has been one of the major developments in Canadian official publishing. Through the acquisition of microforms, the Library has been able to expand its holdings of Canadian Government documents retrospective material.

Selected American State Archives and Libraries

Twelve state archives and libraries were surveyed regarding their administration of Government publications. There are only a couple of generalizations that can be made regarding the responses from these repositories. First of all, most of them neither know the volume of their holdings nor are they able to provide a reasonably accurate count of the numbers of publications in their holdings. Secondly,

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[24]Ibid., p. 9.

those state archives which are under the administrative umbrella of "state archives and library" almost always do not have a government publications or printed archives collection. For example, the Connecticut, New York, and Virginia state archives fall under the above-mentioned administrative umbrella and none of the repositories has a government publications collection. The state libraries in these instances function much like the Canadian National Library (see above). Not only are they responsible for the "care and feeding" of the record copies of Government publications, or the printed archives of the state government, but they also behave much like lending libraries.

However, when the state archives are administratively separate from the state library, then the archives will collect state government publications. In these instances, the state libraries, which are usually Federal depository libraries, would also collect state government publications. Thus, there could be two repositories in a state maintaining collections of state government publications. Nebraska and Washington are examples of states having administratively separate state archives and libraries.

All of the state libraries responding to the survey tended to be founded at a much earlier date than the state archives. For example, the state libraries in Michigan and Ohio date their origins back to the 1830s, while the New York State Library was founded in 1818. Partially as a result of

being considerably older than most other state libraries, these three have large collections of territorial, state, and Federal Government publications. For example, Michigan has over 805,400 state and Federal pamphlets, 67,099 bound volumes, 16,909 maps, 6,367 rolls of microfilm, and 260,769 microfiche. Currently, its annual accretion of state and Federal Government publications include 18,190 pamphlets, 132 bound volumes, 342 maps, 994 rolls of microfilm, and 20,533 microfiche.[25] The New York State Library was not able to provide such a detailed breakdown of its holdings, but the Senior Librarian in Reference Services indicated they had over five million state and Federal Government publications at their institution. Some of the larger state libraries, such as the ones mentioned above, receive a full set of publications from other states, and some United Nations publications as well.

Naturally, staffing sizes and responsibilities vary greatly, and perhaps only one generalization can made. Professional staff members at state libraries, quite naturally, have Master of Arts degrees in Library Science, while staff members at state archives repositories have Master of Arts degrees in academic subjects. In both instances, however, nonprofessional staff members have either a bachelor's degree or no academic degree. State libraries

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[25]Documents Services Administrator, State Documents Unit, the Library of Michigan. Questionnaire, p.2.

normally have at least one staff member who devotes his time exclusively to Government publications, while in the state archives, professionals devote their time to servicing all types of records in their holdings. An exception would be the Alabama State Archives which does have one person who assumes the overall responsibility for state government publications.

The Government publications holdings of the state libraries and state archives are accessible to the general public, as well as representatives of government agencies. However, in most instances a researcher needs a staff member to assist them in accessing the publication they want. Only two of the state archives surveyed had any publications on the open shelves. On the other hand, state libraries tended to have a much larger percentage of their collection on the open shelves. Neither the state archives or the state libraries did anything special to publicize its holdings.

Although all of the state libraries and state archives had some type of security system for their repository, none had a guard stationed in the research room, however, all had at least one guard on the premises. Approximately half of the libraries and archives surveyed required researchers to store personal belongings in lockers before entering the research room. This was more likely to occur among the state archives than in the state libraries. All of the state archives had some sort of formal sign-in and

sign-out procedures for researchers, but most state libraries did not have these procedures. Undoubtedly this was due to libraries having a larger percentage of their Government publications collection on the open shelves.

The number of researchers using these repositories varied greatly. Montana, for example, has a relatively small state library and state archives, and therefore has considerably fewer researchers using its repositories. New York, Michigan, California, and Ohio, having considerable larger populations, would naturally report significantly more researchers using their state libraries and archives. Since there is such a disparity in the size of these repositories, there is little to compare.

All libraries and archives had some type of finding aid available for researchers to use. Many state libraries allowed researchers to used the computerized cataloging system, while the remainder allowed only staff members to access the information in the computer. State archives tended to have more unpublished guides for staff use than did the libraries. Please see Table 3 for a summary of finding aids used in all repositories surveyed.

Approximately half of the state archives and libraries surveyed reported any projects associated with Government publications. All of these projects involved adding entries to their computerized retrieval system.

Conclusion

The administration of Government publications varies widely. Factors influencing how libraries and archival institutions administer their collections of Government publications include the type of repository, its size, and financial resources.

All of the libraries surveyed, including the National Library of Canada, are Government depository libraries, and as such, they receive most of their Government publications on a daily basis. On the other hand, archival repositories receive their publications on an irregular basis, after the publications are no longer current. Archives are directed to keep all issues of a publication, plus any changes, while libraries, which are allowed to dispose of superceded issues of publications, frequently maintain the most recent copies of publications.

Although both types of repositories have reference requests from researchers, many of the state libraries and archives do not keep detailed statistics regarding reference response times. The most common response from these repositories was "as quickly as possible." However, the larger institutions apparently need more means of assessing their effectiveness in providing large-scale reference service. For example, the National Library of Canada has a "Reference Contact Sheet," which also serves as a computer input form. Timely computer-generated reports provide

accurate statistics on the National Library's service to researchers, as well as other information gleaned from the "Reference Contact Sheet."

Generally speaking, libraries have quicker response times to reference requests than do archives (See Table 2) and this can be attributed primarily to libraries having a significantly larger percentage of their holdings on the open shelves and having computerized retrieval systems. (See Table 3) The National Library of Canada, the state libraries surveyed, and approximately 45% of the state archives have some type of computerized retrieval system at their repository. However, the National Archives of the United States currently has no computerized retrieval system in general use.

Dr. Page Putnam Miller in her publication, Developing a Premier National Institution: A Report From the User Community to the National Archives, indicated the National Archives does not enjoy the same per capita expenditure as do other repositories. The Canadian Government spends over $2.00 (in Canadian dollars) per capita on its archives (possibly the National Library receives similar funding), while some state archives in the United States receive "over $1 per capital [sic] for their state archives. Yet the current budget for the National Archives is only 50 cents per

capita."[26] Reference archivists in state archives and at the National Archives primarily rely upon published and unpublished guides and finding aids to located the publications researchers desire. Clearly, this is more time-consuming, and therefore less efficient, than a computerized retrieval system.

Repositories have a clear mandate to make their Government publications available to the general public and the development of computerized retrieval systems clearly enhances the speed and accuracy of this mandate. Thus, those repositories that currently do not have computerized systems will need to develop them, and those libraries and archives currently utilizing retrieval systems will need to add retrospective information to the existing systems.

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[26]Page Putnam Miller, Developing a Premier National Institution: A Report From the User Community to the National Archives (Washington DC: The National Coordinating Committee for the Promotion of History), p. 36.

APPENDIX A

"Reference Request Form"

Center for Legislative Archives

National Archives and Records Administration

REFERENCE REQUEST FORM

DATE: ASSIGNED TO:

RESEARCHER'S NAME, ADDRESS, AND TEL NUMBER:

RESEARCH PROBLEM:

RESULTS OF YOUR SEARCH:

APPENDIX B

"Reference Contact Sheet"

National Library of Canada

National Library of Canada | Bibliotheque nationale du Canada

REFERENCE CONTACT SHEET DEMANDE DE RENSEIGNEMENTS

Name - Nom | Telephone - Telephone ( ) | Ext. - Poste

Address - Adresse

ORIGIN OF REQUESTOR - ORIGINE DU DEMANDEUR

☐ NL - BN ☐ Quebec Other - Quebec Autre ☐ Atlantic - Atlantique

☐ Ottawa - Hull ☐ Prairies N.W.T. - Prairies T.N.-O. ☐ Foreign - Etranger

☐ Ontario Other - Ontario Autre ☐ B.C. Yukon - C.B. Yukon ☐ Unknown - Inconnu

AFFILIATION

☐ Individual - Particulier ☐ Public - Publique ☐ Non profit - Non lucratif ☐ College - College

☐ Library - Bibliotheque ☐ Government - Gouvernement ☐ University - Universite

☐ Business - Commerce ☐ School - Ecole

TURN AROUND TIME - TEMPS DE REPONSE ▶ ☐ Meets standard - Conforme au niveau de service demande ☐ Does not meet standard - Depasse le delai prevu pour le niveau demande

MODE OF CONTACT - METHODE DE LA DEMANDE

☐ In person - En personne ☐ Telephone - Telephone ☐ Letter - Lettre

Electronic Mail - Courrier electronique: ☐ Telex - Telex ☐ Can. Doc ☐ Envoy ☐ Other - Autre

LANGUAGE OF QUESTION - LANGUE DE LA DEMANDE ☐ English - Anglais ☐ French - Francais ☐ Other - Autre

TYPE OF REQUEST - GENRE DE DEMANDE

Substantive - Substantielle

☐ Brief / Factual - Breve / Factuelle

☐ Search / Analysis - Recherche / Analyse

☐ **Bibliographic information - Renseignements bibliographiques**

☐ **Instructions - Formation**

☐ **Directions - Directives**

☐ **Referral - Renvois**

LEVEL OF SERVICE - NIVEAU DE SERVICE

☐ A

☐ B

☐ C

Results - Resultats

☐ Completed - Remplie

☐ Partially completed - Remplie en partie

☐ Cancelled by NL - Annulee par la BN

☐ Cancelled by requestor - Annulee par le demandeur

Products - Produits

☐ 1 data element to 1 citation - Maximum une citation

☐ Format list - Liste de citations

☐ Formal bibliography - Bibliographie

☐ LOCATIONS - LOCALISATIONS

	OONL	Can. other - Can. autres	U.S.A. - E.-U.	Other foreign - Ailleurs	No locations - Pas de localisations	Cancelled - Annulee
Level - Niveau I	☐	☐	☐		☐	☐
Level - Niveau II	☐	☐	☐		☐	☐
Level - Niveau III	☐	☐	☐	☐	☐	☐

TIME - DUREE DE LA RECHERCHE ☐ Up to 5 min. - Jusqu'a 5 min ☐ 6 to 15 min - 6 a 15 min ☐ 16 to 30 min - 16 a 30 min ☐ Over 30 min - Plus de 30 min Time spent - Duree de la rech. ___

SUBJECT - SUJET ☐ Canadian - Canadien ☐ Non-canadian - Non canadien ☐ Both - Can. et non can. ☐ Sc. + tech. ☐ Not specified - Non specifie

BEST COPY AVAILABLE

SOURCES CHECKED – SOURCES CONSULTÉES

Please indicate volume, year, and page numbers – Veuillez indiquer le volume, l'année et le(s) numéro(s) de la(les) page(s).

NL / BN

- ☐ DOBIS
- ☐ NLC
- ☐ NLcom
- ☐ RETRO CAN A

LOCS.

- ☐ BADADUQ
- ☐ LC MARC
- ☐ NUC
- ☐ OCLC
- ☐ RLIN
- ☐ REMARC
- ☐ UCB / UCS
- ☐ UTLAS

VERIF.

- ☐ ABPR
- ☐ BBIP
- ☐ BIP
- ☐ BIP online
- ☐ BM / BLC
- ☐ BNB
- ☐ BNQ
- ☐ CAN A
- ☐ CBIP
- ☐ CBI
- ☐ CBI online
- ☐ LD
- ☐ MARCF

SER. / NSP. PER. / JOURN.

- ☐ AYERS
- ☐ CNI
- ☐ Ind Act
- ☐ NST
- ☐ STANDARD
- ☐ ULRICH S
- ☐ ULCN
- ☐ ULS
- ☐ ULSSCL
- ☐ ULSSHCL

ONLINE EN DIRECT

- ☐ (Spec)

SUBJ. – SUJ.

- ☐ BIP Subj
- ☐ DAC
- ☐ CPI
- ☐ EC
- ☐ Enc Assoc
- ☐ Mag Index
- ☐ NCE
- ☐ PER / PR
- ☐ RADAR
- ☐ REPERE
- ☐ RG
- ☐ RG online
- ☐ Encyclopedia (Spec)

GOV. – GOUV.

- ☐ ASI
- ☐ CIS / Con H
- ☐ DSS MAS
- ☐ ERIC
- ☐ GPO
- ☐ HMSO
- ☐ ILO BIT
- ☐ OECD OCDE
- ☐ Stat
- ☐ UNESCO
- ☐ US Serial Set

BIOGRAPH.

- ☐ Biog Ind
- ☐ Biog Mas Ind
- ☐ Can WW
- ☐ DAB
- ☐ DCB
- ☐ DNB
- ☐ Mac DCB
- ☐ NYT Pers Nam
- ☐ WW Can
- ☐ WW (Spec)

MUSIC – MUSIQUE

- ☐ GROVE 5
- ☐ GROVE 6
- ☐ KINKLE
- ☐ MI
- ☐ PSI
- ☐ SEARS
- ☐ SIC

OTHER – AUTRES

- ☐ CHILD
- ☐ CHILD Subj
- ☐ LIB LIT
- ☐ LISA

APPENDIX C

Sample Copy of Questionnaire Used in Survey

QUESTIONNAIRE

GOVERNMENT PUBLICATIONS

Name and Title of Person Responding to Questionnaire:

_____

Name of Institution:

_____

Does your institution have any state, Federal (or both) government publications? yes_____ No_____

1. Please cite the legal authority (ies) for your collection policy regarding government publications:

2. Nature of Collection.

   a. Year when your institution was founded _____

   b. Year when your repository first acquired Federal government publications_____
      state government publications_____

   c. size of collection in cubic feet
      _____

d. Size of current collection - number of items

1. printed documents _____
2. microfiche _____
3. microfilm _____
4. maps and charts _____
5. still pictures _____
6. electronic media _____
7. other (please specify) _____

e. Are there significant gaps in your collection?
yes _____ no _____

1. If yes, what are the causes?
   a. change in acquisition policy ____
   b. weeding of collection _____
   c. accidental loss or destruction _____
   d. other (please specify) _____

f. Are your accretions or additions received

monthly? _____
semi-annually? _____
annually? _____
in two-year blocs? _____
in three-year blocs? _____
other? (please specify) _____

1. Average size of accretions in cubic feet
_____

2. Average number of items in accretions

   a. printed documents _____
   b. microfiche _____
   c. microfilm _____
   d. maps and charts _____
   e. still pictures _____
   f. other (please specify) _____

3. Has the average amount of annual additions into your repository increased or decreased over the last 10 years?
increased _____ decreased _____

a. insignificant _____
b. no more than 10% per year _____
c. more than 10% per year ____

4. Has the average amount of annual additions into your repository increased or decreased over the last 3 years?
increased ____ decreased _____

a. insignificant _____
b. no more than 10% per year _____
c. more than 10% per year _____

g. Does your repository periodically "weed out" your government publications collection?

yes _____ no _____
If yes,
1. how frequently? _____
2. Are there formal guidelines regarding what to keep and what to "throw out?"
yes _____ no _____

i. If your repository is not mandated by law to collect all of your state government's publications, do you have a formal appraisal process to determine which publications should be added to your collection?

yes ____ no _____

Which categories of Federal government publications does your institution receive?

j. Are official publications within your jurisdiction published in more than one language?
yes____ no ____

If yes,
1. published in two languages? ____
2. published in three languages? ____
3. in bi- or multilingual editions? ____
4. in separate language editions? _____
5. other?

k. Does your library receive deposits from other government sources (counties or cities) within your country?
yes ____ no _____

If yes,
1. receive full deposits? _____
2. receive selected deposits? _____

if receive selected deposits, who or what determines which publications you receive?

l. Does your library receive deposits from other national or international government sources?

yes ____ no____

m. Are all components of your government publications collection housed together in one area -- same room(s) & same staff? yes _____ no _____

1. if collection and/or staff is separate, please explain:

3. Staffing

a. Total number of full-time employees servicing government publications _____ part-time _____

b. Number of employees whose primary responsibility is

reference _____
administrative _____
arrangement and description _____
other (please explain) _____

c. Educational level of staff (highest degree)

number having:
1. no college degree _____
2. bachelor's degree only _____
3. master's degree only _____
4. doctorate only _____
5. library/information science degree only _____
6. library/information science degree + subject Master's degree ___

d. Regular work hours for staff

M-F _____ Sat_____

4. Reference

a. Is your official publications collection accessible to

1. the general public & government agencies _____
2. government agencies only _____
3. "serious" researchers only _____
4. members of your institution only _____

b. If your library's government publications collection is accessible to the general public, how do you make this known?

1. do nothing special ____
2. notices, etc. in your institution _____
3. advertisements, notices in other institutions ___
4. advertisements, notices in library and archival publications ____
5. other (please explain)

c. Are any your government publications on the open shelves?
yes ____ no _____

If yes,
what percentage?

1. all ____
2. more than 75% ____
3. more than 50% _____
4. more than 25% _____
5. less than 10% _____

what types of publications are on the shelves?

1. annual reports, yearbooks, etc. ____
2. statistical publications ____
3. major social, and economic reports _____
4. publications of the state or national legislature ____
5. other (please explain)

d. Does your library allow borrowing of government publications? yes _____ no _____

If yes,
1. to all users _____
2. to a limited number of users _____

e. Does your repository allow government publications to circulate through an inter-library loan system?
yes ____ no _____

f. Is there a formal orientation program (tape-slide program, in-person explanation of how to use library, etc.)?
yes _____ no _____

g. Is there a hand-out explaining the rules and regulations of the institution?

yes _____ no _____

h. Are there formal sign-in and sign-out procedures in the research room? yes _____ no _____

when receiving and returning research material?
yes _____ no _____

i. Is there a separate research room for reseachers using government publications _____ or is there one research room for all researchers using any library materials _____?

j. Hours library is open?

M-F_____ Sat _____

k. Research room security
1. guards present? yes ____ no _____
2. researchers must put personal possessions in locker? yes _____ no _____
3. library furnishes paper for note taking?
yes _____ no _____
4. pens allowed? yes _____ no _____

l. Are microfilm readers available for researchers?
yes _____ how many? _____
no _____

m. Are microfiche readers available for researchers?
yes _____ how many? _____
no _____

n. Average number of reference requests per week
walk-in _____
correspondence _____
telephone _____

o. Is there a place reserved to conduct reference interviews? yes _____ no _____

p. Is there a standard "interview form" to record pertinent information provided by walk-in or telephone reference requests? no _____ yes _____
(if yes, could you please provide a sample copy?)

q. Average time to successfully complete reference request
walk-in _____/_____ (hours/minutes)
correspondence _____/_____ (hr/min)
telephone _____/_____ (hr/min)

r. What kinds of finding aids are available for researcher to use in order to locate the desired government publication(s)?
_____ card catalog(ue)
_____ computer retrieval system
_____ published guides (how many + briefly describe describe below)

_____ unpublished guides (how many + briefly describe below)

_____ other (please explain)

s. Are there finding aids for government publications that only librarians/archivists have access? no _____
yes _____ (briefly describe)

t. Do you pull government publications for reference only at certain times during the day? no _____
yes _____ when? _____

u. Is there a limit on the number of publications a researcher can request at one time? no _____
yes _____ how many? _____

5. Copying.

a. Is there a photocopy machine available in the research room? yes _____ no _____

b. Are researchers allowed to make their own photocopies?
yes _____ no _____

If yes, are printed copying instructions provided?
yes _____ no _____

If no, please explain procedure for researchers to have copies of all or part of government publications.

c. Cost per page to have copies made
in-person _____
by mail _____

d. Are there accommodations for large copying orders?
yes _____ no _____

e. Are there copyright laws that would restrict copying of government publications? no _____
yes ____ please explain

7. Preservation.

a. Is there another version of the government publication (a preservation copy)? no _____
yes _____

if yes, please indicate if there is
_____ another copy of the printed government publication
_____ microfilm copy
_____ microfiche copy
_____ other, please explain

b. Do you house your government publications

_____ 1. each in its own acid-free folder in an acid-free box

_____ 2. several publications in one acid-free box

_____ 3. other (please explain)

8. Are you presently engaged in any special projects (computer cataloging system, microfilming projects, etc.) regarding your government publications? no _____

yes _____ (please explain)

APPENDIX D

Tables

Table 1 Receipt of Accretions (percentages)

	Daily	Weekly	Monthly	Qty.	Annually	Other
NARA						100%(1)
Canada	99%					1%(2)
St. Arch			5%	10%	30%	55%(3)
St. Lib.	90%	10%				

(1) NARA received two major 4-year bloc accretions to the old GPO Library collection over the past 17 years. Most recent publications in RG 287, Publications of the United States Government, were printed in 1979.
(2) publications received from Great Britain and the United Nations received irregularly
(3) received "whenever possible"

Table 2 Comparison of Reference Response Times

	Correspondence	Walk-in	Telephone
NARA	2 hours	45 min.	30 min.
Canada	2 hours	15 min.	10 min.
St. Arch (avg.)	2 1/2 hours	25 min.	20 min.
St. Lib. (avg.)	2 hours	11 min.	13 min.

Table 3 Types of Finding Aids for Government Publications

	card catalog	computer retrieval system	published guides	unpublished guides
NARA	Yes	No	Yes	Yes
Canada	Yes	Yes	Yes	Yes
St. Arch.	Yes(35%)	Yes(45%)	Yes	Yes
St. Lib.	Yes	Yes	Yes	Yes(10%)

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